

2/3 P.O. Box 1625 2525 North Fremont Ave. Idaho Falls, Idaho 83415

DEC 2 2 2000 BULL

December 18, 2000

CCN 16483

(208) 526-0111

RECEIVED

DEC 2 8 2000

**Technology Center 2100** 

Attn Group Art Unit 2766 Assistant Commissioner for Patents Washington, D.C. 20231

LIT-PI-484, "DIGITAL SIGNATURE SYSTEM WITH NONREPUDIATION FOR RELATIONAL DATABASES"

Dear Sir:

Enclosed is an Information Disclosure Statement together with PTO Form 1449 and listed art, and a return receipt postcard.

Sincerely,

Patricia A. Butikofer

Intellectual Property Administrator

**Technology Transfer Office** 

PB

Enclosures

Attorney Docket No.: LIT-PI-484



## HE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Bennett J. Groeneveld, et al

Serial No.: 09/544,777

Examiner: Unknown

**Filing Date:** 04/07/00

**Group Art Unit: 2766** 

Title: DIGITAL SIGNATURE SYSTEM WITH NONREPUDIATION FOR RELATIONAL

**DATABASES** 

**Assistant Commissioner for Patents** Washington, D.C. 20231

## INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever occurs last.

It is requested that the newly discovered information disclosed herein be made of the record in this application.

CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8a)

Respectfully submitted,

Alan D. Kirsch

Reg. No.: 33,720

I hereby certify that this correspondence is, on the date shown below, being:

deposited with the United States Postal Service with dufficient postage as first class mail in an evelope addressed to the Assistant Commissioner for Patents,

Washington D.C. 20231

Date: 12-18-00

[ ] transmitted by facsimile to the Patent and Trademark

rint name of person certifying

Form PTO-1449 U.S. DEPARTMEN PATENT AND TR					OF COMMERCE EMARK OFFICE	ATTY. DOCKET N LIT-PI-484 - A	AL NO. 4,777				
VC/27	1	LIST OF ART CITEI	D BY APPL	•		APPLICANT Bennett J. Groenvel					
2000 33	(Use several sheets if neces					FILING DATE GROUP April 7, 2000 Unknown					
000				U.S. PATEN	NT DOCUMENTS						
Examiner Initial		Document Number	Date		Name		Class	Subclass	Filing If Appr	Date copriate	
	AA AB			<u> </u>			Ē			2.8 71	
	AC		<del> </del>			<del></del>		Te			
	AD								chnolog	V Cente	
	AE		<del> </del>		<del></del>		<del>                                     </del>	:	<u> </u>		
	AF							<u> </u>			
	AG						<u> </u>				
	AH										
	AI										
	AJ							·			
٠	AK			<u> </u>							
				FOREIGN PAT	TENT DOCUMEN	rs			1		
-	•	Document Number				Country			Tran Yes	slation No	
	AL								165	NO	
	AM		<u> </u>	ļ	,						
*	AN					<del> </del>	<del> </del>	<del>                                     </del>	ļ		
	AO		<del> </del>		<u> </u>		<u> </u>	<u> </u>		ļ	
	AP	0	THER REFERE	ENCES (including	Author, Title, Date	Pertinent Pages, Etc.	<u> </u>				
	AR	<u> </u>				commerce."; http://www		pks.litml; 6 pa	ges.		
		·			· · · -		;				
	AS	"PureEdge Solutio	ns"; "Creating l	Binding E-Commer	ce, Legally Binding	XML Solutions; http:	//www.uwi.com	/faq/faq.html;	3 pages	-	
							1				
	AT		-			Section of Science and	Technology I	nformation Se	curity Commit	lee";	
<b></b>		http://abanet.org/se	ritech/ec/isc/dsg-i	tutorial.html; 6 pag							
EXAMINER				1 4	DATE CONSIDER.	$\omega$	•				

Form PTO-1449				U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO LIT-PI-484 - #DM		SERIAL NO. 09/544,777			
/- \ '	ACYS!	LIST (	OF ART CITED (Use several sheets	BY APPL	ICANT		APPLICANT Bennett J. Groenveld et al.					
DEL 11.	5000 F		(USE SEVETUL STREETS	y necessary)			FILING DATE April 7, 2000		GRO! Unkno			
Sp.	ريند ا	/			U.S. PAT	ENT DOCUMENTS	Арги 1, 2000			DWII.		
*Examiner Initial	DE	Docur Numb		Date		Name	·	Class	Subclass	Filing If Appro	Date opriate	
	AA											
	AB									PEC/	2000 2000	
-	AC								4	EC.	TVE	
	AD								Techno	no.	2000	
	AE									By Cente	72.	
	AF										100	
	AG								,			
	AH						· <del></del>					
	AI											
	AJ				<u></u>							
	AK							c.			į	
		ı			FOREIGN I	PATENT DOCUMENT	75	1		1		
		Docui Numb		Date		Country		Class	Subclass	Trans Yes	slation No	
	AL				_							
-	AM											
	AN AO	-										
,	AP		·									
			от	HER REFERE	NCES (includin	g Author, Title, Date	, Pertinent Pages, Etc.)					
	AR		"MIT distribution si	te for PGP* *	Welcome to the	MIT Distribution Ce	nter for PGP(Pretty Go	od Privacy)";	http://web.mii	t.edu/netwrok/p	gp.html;	
			3 pages									
	AS		"ILUMIN" ILUMIN	** Process* wys	siwyg://233/http:	//www.ilumin.com.tech	nology/process; 3 pages					
	AT		"Transuranic Report D.W.; March 1998;	ing, Inventory, pps. 1-196.	and Processing	g System (TRIPS) Inf	ormation Model Diction	ary"; Release	2.0; Herring,	C.A. and Ch	irstiansen,	
					1					<u> </u>		
EXAMINER						DATE CONSIDER	ED					
			considered, whether o		is in conforma	nce with MPEP 609;	Draw line through cital	tion if not in	conformance	and not consi	dered.	

Sheet 3 of 7 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE ATTY. DOCKET NO. Form PTO-1449 SERIAL NO. LIT-PI-484 - 1 09/544,777 LIST OF ART CITED BY APPLICANT **APPLICANT** Bennett J. Groenveld et al. (Use several sheets if necessary) FILING DATE April 7, 2000 GROUP Unknown U.S. PATENT DOCUMENTS Class Subclass Date Filing Date Document Name FIRMT & TRADE Initial Number If Appropriate AA AB AC AD ΑE AF AGΑH ΑI AJ FOREIGN PATENT DOCUMENTS Document Date Country Class Subclass Translation Number Yes ΑL AM AN ΑO AP OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.) AR "ABA Digital Signatures Guidelines"; "Legal Infrastructure for Certification Authorities and Secure Electronic Commerce"; August 1, 1996; pps. AS "TRIPS Mini Design R3.0"; B. Groeneveld, W. Austad, C. Herring, K. Wagner; pps. 1-5. ١

"TRIPS Technical Investigation"; Scalability of Electronic Approval Snapshots: OS Flat Files vs. LDAP; S. Walsh, B. Novak, W. Austad; May 5,

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.

ΑT

1

**EXAMINER** 

1998; 3 pages.

Include copy of this form with next communication to applicant.

Form PTO-144	19			DEPARTMENT OF COMMERCE FENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. SERIAL NO. 09/544,777					
TPE	\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\	LIST OF ART CITEI		ICANT	APPLIC Bennett	CANT J. Groenveld et al.					
<u> </u>	(E)	\			FILING April 7,	G DATE , 2000	d et al.  GROUP  Unknown				
DEC 55	Series			U.S. PATENT DOCUMENTS	3			-			
Examiner Militial TRA	EMARIT	Document Number	Date	Name		Class	Subclass	Filing If Appro	opriate		
	AA							PE DEC	`~		
	AB							Dra	CEI		
	AC						Ten	,	28 21		
	AD				<u></u>			nology (	<u>.</u> کوت		
	AE							•	"Ner 2		
	AF										
	AG							· ·			
	AH										
	AI					<u> </u>					
	AJ										
	AK										
			- <del>! </del>	FOREIGN PATENT DOCUMEN	VTS		1				
		Document Number	Date	Country		Class	Subclass	Trans	lation		
	AL		<u> </u>	<del>                                     </del>		!		Yes	No		
	AM										
	AN										
	AO							-			
	AP		<u> </u>	1			1				
		0	THER REFERE	ENCES (including Author, Title, Date	te, Pertinent	t Pages, Etc.)					
\	AR		"TRIPS Mini Design" "Data Validation Business Rules"; M. Sherick, K. Lundquist; L. Pask; E. Dumas, S. Hailey, R. Arbon, G. Hayes, G. Twedell, C. Crowder, and B. Evans; July 15, 1998; pps. 1-5.								
	AS	"TRIPS Mini Desi	ign" "Electronic	Signature Architecture"; W. Austad,	S. Walsh,	C. Herring, and B. Groe	neveld; Septemb	er 28, 1998;	pps. 1-8.		
1						-	-				
\	AT	"Transuranic Repo	orting, Inventory	, and Processing System (TRIPS) E	lectronic Sig	gnature Background Docu	ment"; Novembe	er 3, 1997; pj	os. 1-22.		
								<u> </u>			

FORM PTO-1449  U.S. DEPARTMENT OF COMPATENT AND TRADEMARK						ATTY. DOCKET NO. SERIAL NO. 17.77 09/544,777				
IP E	vC/27	LIST OF ART CITE (Use several shee		ICANT		APPLICANT Bennett J. Groenve	ld et al.			•
. 1	2000 1					FILING DATE April 7, 2000	JP own			
DEC 1	OF.	ĺ		U.S. PAT	ENT DOCUMENTS					
Examiner TR!	DEMIR	Document Number	Date		Name		Class	Subclass	If Appropriate	
	AA								PEC 2	
	AB								DFC	26/1
	AC						<u> </u>	Tec	Photo 2	8 20
	AD		-				ļ		"IOIOGY C	enter :
	AE		_				<u> </u>			
	AF						-			
	AG		-					ļ	ļ	
	AH						<del> </del>	<u> </u>	<u> </u>	
	AÍ						*			
	AJ									_
	AK									
	1	<b>.</b>	T	FOREIGN P.	ATENT DOCUMENT	rs		T		
-		Document Number	Date		Country		Class	Subclass	Trans Yes	NoNo
	AL		<del> </del>					<u> </u>		
	AM								<u> </u>	
	AO			1			1		_	
	AP	· <del></del>			<del> </del>		1			
			OTHER REFERE	ENCES (including	Author, Title, Date	, Pertinent Pages, Etc	.)	<u> </u>	<u> </u>	
	AR	"PKCS #1: RSA	Encryption Stan	dard, Version 1.:	5"; RSA Laboratories	s; November 1, 1993;	pps. 1-37.			
					00					_
\	AS	"TRIPS Mini Des	sign" "Electronic	Approval (Draft	- R4 Design Base)",	: W. Austad, S. Walsi	h, C. Herring;	April 7, 1998	; pps. 1-37.	
	ı T	_								
			"PKCS #11: Cryptographic Token Interface Standard; Version 2.01; December 22, 1997; pps. 1-246.							
\	AT		ptographic Token	ı Interface Stand	ard; Version 2.01; D	ecember 22, 1997; pp	os. 1-246.			

	U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. SERIAL NO. D9/544,777										
PE ICIS	LIST O	F ART CITEI (Use several sheet)		ICANT	APPLICANT Bennett J. Groenveld et al.			al.			
ייטט אָי ייסט אָי	_					FILING DATE April 7, 2000		GRO Unka			
ist 2.1				U.S. PATI	ENT DOCUMENTS						
Staminer TR OF ME	Docume Number		Date		Name		Class	Subclass	Filing If Appr	Date ropriate	
AA		-							TEC	EIVE	
AB									DEC 2	8 20u	
AC								Tec	tnology (	Pento : o	
AD				_		<u> </u>				<del>romer 2</del>	
AE											
AF											
AG											
AH											
AI											
AJ					· .						
AK											
			*								
		'		FOREIGN P.	ATENT DOCUMEN	TS .		T:			
··	Docume Number		Date	FOREIGN P.	ATENT DOCUMEN  Country	TS	Class	Subclass		slation	
AI.			Date	FOREIGN P.		<i>TS</i>	Class	Subclass	Tran. Yes	slation No	
AL AM			Date	FOREIGN P.		TS	Class	Subclass			
			Date	FOREIGN P.		TS	Class	Subclass			
AM		:	Date	FOREIGN P.		TS	Class	Subclass			
AM	Number	:	Date	FOREIGN P.		TS	Class	Subclass			
AM AN AO	Number				Country	TS , Perlinent Pages, Etc.)		Subclass			
AM AN AO	Number	. 0	THER REFERE Services Resourc	NCES (including	Country  Author, Title, Date				Yes	No	
AM AN AO AP	Number	O	THER REFERE Services Resourc	NCES (including	Country  Author, Title, Date	, Pertinent Pages, Etc.)			Yes	No	
AM AN AO AP	Number	*Useful Terminal August 8, 2000; 2	THER REFERE Services Resource pages.	NCES (including re Kit Utilities" <u>I</u>	Country  Author, Title, Date	, Pertinent Pages, Etc.)	ss/Q240/4/44	ASP?LN=EN	Yes	No	
AM AN AO AP	Number	"Useful Terminal August 8, 2000; 2	THER REFERE  Services Resource pages.  Tlow®"; "The Ne	NCES (including we Kit Utilities" [	Country  Author, Tule, Date  outp://support.microso	t, Pertinent Pages, Etc.) ft.com/support/kb/article	s/Q240/4/44 Vhite Paper";	ASP?LN=EN.	Yes  US&SD=gn&F	No  No	
AM AN AO AP  AR	Number	"Useful Terminal August 8, 2000; 2 "JetForm" "FormF	THER REFERE  Services Resource pages.  Tlow®"; "The Ne	NCES (including we Kit Utilities" [	Country  Author, Tule, Date  outp://support.microso	, Pertinent Pages, Etc.) ft.com/support/kb/article n JetForm"; *Product W	s/Q240/4/44 Vhite Paper";	ASP?LN=EN.	Yes  US&SD=gn&F	No  No	

1

Form PTO-1449	)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO			SERIAL NO. 09/544,777			
OPE		LIST OF ART CITED (Use several sheets		ICANT		APPLICANT Bennett J. Groenveld	eı al.					
′O`	5000 5	3	•			FILING DATE GROUP April 7, 2000 Unknown						
DEC 1	, , , ,	1		U.S. PAT	ENT DOCUMENTS							
Edintner TR	DEMA	Document Number	Date		Name		Class	Subclass	Filing If App	Date ropriate		
	AA								REC	FIVE		
	AB								DEC	<b>EIVE</b> 2 8 201		
	AC								DEC	8 200		
	AD		-	_				Te		Center 2		
	AE											
	AF											
	AG				_							
	AH				· _ ·							
	AI								:			
	AJ											
	AK	•						,				
			·	FOREIGN P.	ATENT DOCUMENT	ız	4					
-		Document Number	Date		Country		Class	Subclass		slation		
	AL								Yes	No		
	AM											
	AN							. :	·			
	AO		ļ					ļ		-		
	AP			<u> </u>				,				
<u>_</u>	T	• 1	HEK KEFEKE.	NCES (including	g Author, Title, Date,	, Pertinent Pages, Etc.)	·					
	AR	"Enterprise Reality"	*Creating Dat	a Confidence Ti	hrough Access Contro	ols and Electronic Signa	tures"; Caro	l Mancuso; M	ay 3-6, 1998; ———	pps. 1-36.		
	AS	"Using Public Key I	Digital Signatu	res in Paperless	Information Systems	" http://www.gradkell.com	n/PKI; 6/4/9	9; pps. 1-18	_			
-			٠.				•					
	AT											
	ŀ				-	·						
EXAMINER		I			DATE CONSIDERI	ED	*	. <u> </u>				
*EXAMINER:	Initial if	reference considered, whether o	or not citation	is in conforman	ce with MPEP 609:	Draw line through citat	ion if not in	conformance	and not cons	idered.		
Include copy of	this form	with next communication to	applicant.									